



2821  
ATTORNEY DOCKET NO: C01104/70016

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kevin J. Dowling, Frederick M. Morgan, Ihor A. Lys, Michael K. Blackwell, Alfred Ducharme, Ralph Osterhout, Colin Piepgras, George G. Mueller, and Dawn Geary  
Serial No: 09/805,590  
Confirmation No: 1160  
Filed: March 13, 2001  
For: LIGHT-EMITTING DIODE BASED PRODUCTS  
Examiner: D.A. Minh  
Art Unit: 2821

TECHNOLOGY CENTER 2800

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CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, Washington, D.C. 20231, on the 8th day of October, 2002.

Janine Michalski  
Janine Michalski

Commissioner for Patents  
Washington, D.C. 20231

TRANSMITTAL LETTER

Sir:

Transmitted herewith for filing are the following documents:

- [X] STATEMENT FILED PURSUANT TO THE DUTY OF DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98 PTO FORM 1449 AND REFERENCES CITED
- [X] RETURN POST CARD

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch are respectfully requested to contact the undersigned collect at (617)720-3500, Boston, Massachusetts.

Enclosed is a check in the amount of \$180.00 to cover the filing of the Information Disclosure Statement. If an additional fee is needed, it may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,

*Kevin J. Dowling, et al., Applicants*

By: Joseph Teja, Jr.

Joseph Teja, Jr., Reg. No. 45,157  
Randy J. Pritzker, Reg No. 35,986  
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Boston, Massachusetts 02210-2211  
Telephone: (617) 720-3500

Docket No. C01104/70016  
Date: October 8, 2002  
X (NDD)



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Jarime Michalski  
Jarime Michalski

Commissioner for Patents  
Washington, D.C. 20231

STATEMENT FILED PURSUANT TO THE DUTY OF  
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicants request consideration of this Information Disclosure Statement.

PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed more than three months after the filing date of this application and after the mailing date of the first Office Action, but before the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, or an action that otherwise closes prosecution in this application.

The fee of \$180.00 as set forth in 37 C.F.R. §1.17(p) is enclosed.

10/21/2002 YPOLITE1 00000018 09805590

01 FC:1806

180.00 OP

647639.1

PART II: Information Cited

The Applicants hereby make of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

The Applicants hereby make the following additional information of record in the above-identified application.

The Applicants would like to bring to the Examiner's attention the following co-pending applications that may contain subject matter related to this application:

<u>Serial No.</u>	<u>Filing Date</u>	<u>Inventors</u>
09/971,367	10/04/2001	George G. Mueller and Ihor A. Lys

PART III: Remarks

Documents cited anywhere in the Information Disclosure Statement are enclosed unless otherwise indicated. It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicants makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicants make no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicants make no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicants, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

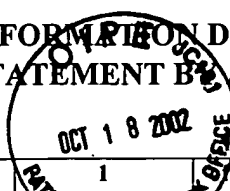
Respectfully submitted,

*Kevin J. Dowling, et al., Applicants*

By: 

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Randy J. Pritzker, Reg No. 35,986  
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Docket No. C01104/70016  
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FORM PTO-1449/A and B (Modified)		APPLICATION NO.: 09/805,590	ATTY. DOCKET NO.: C01104/70016
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> 		FILING DATE: March 13, 2001	
		APPLICANT: Kevin J. Dowling, et al.	
		GROUP ART UNIT: 2821	EXAMINER: D.A. Minh
Sheet 1	6		

### U.S. PATENT DOCUMENTS

Examiner's Initials#	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication or of issue of Cited Document MM-DD-YYYY
		Number	Kind Code		
		* US 2001/0033488	A1	Chliwnyj, et al.	10/25/2001
		* Re. 36,030		Nadeau	01/05/1999
		* 2,909,097		A.E. Alden, et al.	10/20/1959
		* 3,318,185		Kott	05/09/1967
		* 3,561,719		Grindle	02/1971
		* 3,586,936		McLeroy	06/22/1971
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		* 3,643,088		Osteen, et al.	02/1972
		* 3,746,918		Drucker, et al.	07/17/1973
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		* 3,832,503		Crane	08/27/1974
		* 3,858,086		Anderson, et al.	12/31/1974
		* 3,909,670		Wakamatsu, et al.	09/30/1975
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

FILING DATE: March 13, 2001

APPLICANT: Kevin J. Dowling, et al.

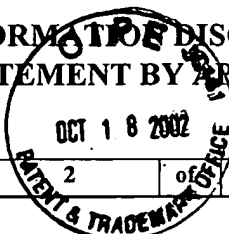
GROUP ART UNIT: 2821

EXAMINER: D.A. Minh

Sheet

2

of 6



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	* 4,973,835	Kurosu, et al.	11/27/1990
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

OCT 18 2002

FILING DATE: March 13, 2001

APPLICANT: Kevin J. Dowling, et al.

GROUP ART UNIT: 2821

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Sheet

3

6

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**INFORMATION DISCLOSURE  
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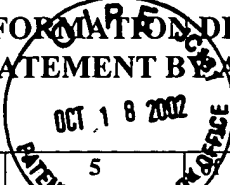
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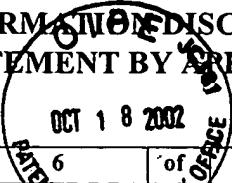
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Sheet 5	6		

#### FOREIGN PATENT DOCUMENTS

Examiner's Initials#	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document (not necessary)	Date of Publication of Cited Document MM-DD-YYYY	Translation (Y/N)
		Office/Country	Number	Kind Code			
			* AU 6 267 9			12/30/1996	
			* CA 2 178 432			12/08/1996	
			* EP 0495305	A2		07/22/1992	
			* EP 0534710	B1		01/17/1996	
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			* EP 1020352	A2		07/19/2000	
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			* FR 88 17359			12/21/1998	
			* GB 2045098	A		10/29/1980	
			* GB 2176042	A		12/10/1986	
			* JP 06043830			02/18/1994	
			* JP 9 320766			12/12/1997	
			* JP 7-39120			07/14/1995	
			* JP 8-106264			04/23/1996	
			* WO 89/05086			06/01/1989	
			* WO 94/18809			08/18/1994	
			* WO 95/13498			05/18/1995	
			* WO 96/41098			12/19/1996	

#### OTHER ART - NON PATENT LITERATURE DOCUMENTS

Examiner's Initials#	Cite No	Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published.	Translation (Y/N)	
		* "LM117/LM317A/LM317 3-Terminal Adjustable Regulator", National Semiconductor Corporation, May 1997, pp. 1-20		
		* "DS96177 RS-485 / RS-422 Differential Bus Repeater", National Semiconductor Corporation, February 1996, pp. 1-8		
		* "DS2003 / DA9667 / DS2004 High Current / Voltage Darlington Drivers", National Semiconductor Corporation, December 1995, pp. 1-8		

FORM PTO-1449/A and B (Modified)		APPLICATION NO.: 09/805,590	ATTY. DOCKET NO.: C01104/70016
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Sheet 6 of 6			

		* "LM140A / LM140 / LM340A / LM7800C Series 3 – Terminal Positive Regulators", National Semiconductor Corporation, January 1995, pp. 1-14		
		* High End Systems, Inc., Trackspot User Manual, August 1997, Excerpts (Cover, Title page, pp. ii through iii and 2-13 through 2-14)		
		* Artistic License, AL4000 DMX512 Processors, Revision 3.4, June 2000, Excerpts (Cover, pp. 7,92 through 102)		
		* Artistic License, Miscellaneous Drawings (3 sheets) January 12, 1995		
		* Artistic License, Miscellaneous Documents (2 sheets February 1995 and April 1996)		
		* Newnes's Dictionary of Electronics, Fourth Edition, S.W. Amos, et al., Preface to First Edition, pp. 278-279		
		* "http://www.luminus.cx/projects/chaser", (November 13, 2000), pp. 1-16		
		Co-Pending Application Serial No. 09/971,367, filed October 4, 2001, entitled "Multicolored LED Lighting Method and Apparatus," our File No. C01104/70082.		

EXAMINER	DATE CONSIDERED
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#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\* a copy of this reference is not provided as it was previously cited by or submitted to the office in prior applications:

Serial No. 09/669,121, filed September 25, 2000;  
Serial No. 09/425,770, filed October 22, 1999;  
Serial No. 08/920,156, filed August 26, 1997;  
Serial No. 09/213,540, filed December 17, 1998;  
Serial No. 09/213,581, filed December 17, 1998;  
Serial No. 09/213,548, filed December 17, 1998;  
Serial No. 09/742,017, filed December 20, 2000;  
Serial No. 09/213,607, filed December 17, 1998;

Serial No. 09/215,624, filed December 17, 1998;  
Serial No. 09/333,739, filed June 15, 1999;  
Serial No. 09/742,017, filed December 20, 2000;  
Serial No. 09/213,659, filed December 17, 1998;  
Serial No. 09/213,189, filed December 17, 1998;  
Serial No. 09/626,905, filed July 27, 2000;  
Serial No. 09/213,537, filed December 17, 1998;

which are relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional applications).

[NOTE - Must provide a copy of any patent, publication, other information listed, even if it was previously submitted to, or cited by, the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]